

NAWCWDINST 5310.1  
730000D  
21 Dec 2000

NAWCWD INSTRUCTION 5310.1

From: Commander, Naval Air Warfare Center Weapons Division

Subj: POSITION MANAGEMENT

Ref: (a) Title 5, U. S. Code  
(b) SECNAVINST 5010.1B  
(c) COMNAWCWPNS memo 12500 730000E of 30 Sep 94

Encl: (1) Position Management (PM) Guidelines  
(2) Organization Change Approval Flow Chart  
(3) Documentation and Coding Requirements  
(4) Position Track Sheet (Format)  
(5) Position Management Process

1. Purpose. To issue position management policies, processes, and guidelines for the Naval Air Warfare Center Weapons Division (NAWCWD), as a Competency Aligned Organization.

2. Cancellation. NAWCWPNSINST 5310.1C.

3. Scope. This instruction applies to all military and civilian appropriated fund NAWCWD positions.

4. Background

a. Effective and efficient use of manpower resources is the goal of the Shore Manpower Requirements Program (SMRP). Justifiable manpower requirements are determined by a variety of processes including position management, efficiency reviews, commercial activities studies, staffing standards, and workload driven manpower models. The emphasis of SMRP is on relating documented manpower requirements and resource authorizations to funded programs while achieving economic objectives with efficient and productive use of manpower resources.

b. Position management (PM) is a program that defines an ongoing management responsibility to structure positions, grades, skill levels, and organizations in such a way as to provide an optimum balance among mission need, economy, efficiency of operation, and effective use of personnel. References (a) and (b) provide further information on this managerial responsibility.

5. Policy. Command policy is to consider the goal of the SMRP during the PM process to ensure that an economical and effective work force exists within NAWCWD.

6. Authority and Responsibility. Reference © delegates position management authority to Level 1 Managers, who can re-delegate this authority and responsibility in writing to cognizant managers within each competency area. Assessment of the effectiveness of managers exercising this authority must be addressed in annual fitness reports, performance reviews, and management evaluations.

a. Managerial responsibility includes involving exclusive representative(s) of any affected labor organization(s) in planning for change and preventing or eliminating unnecessary organizational fragmentation, excessive layering, improper use of deputies or assistants, improper job design, outmoded work methods, and inappropriate span of control. Enclosure (1) is included for guidance.

b. Head, Human Resources Department, Code 730000D, is designated as the Position Management Officer with responsibility for participating with top management levels to assess overall PM performance of the Command.

c. Head, Manpower and Analysis Division, within Code 732000D, is designated as the Organization Realignment Coordinator with responsibility for establishing relevant PM criteria, recommending PM policy, and providing staff support for the administration and implementation of the program.

d. Position Management Coordinator, within Code 732000D, is responsible for consulting with organization management at the three NAWCWD sites on PM program requirements and ensuring the proper documentation of organization changes.

7. Action

a. Supervisors will:

- (1) Verify structure of positions annually during the performance appraisal period.
- (2) Ensure that employees perform the duties assigned in their positions of record.

b. NAWCWD Competency Managers (Level 1) and Commanding Officer, Naval Air Weapons Station will:

- (1) Manage the PM program within their respective organizations and review or approve all PM actions.
- (2) Ensure that PM actions conform to Command policy.

(3) Review vacant and new positions for proper classification, recruitment alternatives, career ladder potential, possible impact on or relationship to existing positions, and conformance with authorized funding levels.

(4) Evaluate subordinate managers and supervisors for effective PM performance.

c. Executive Director will:

(1) Ensure that PM actions are according to Command policy.

(2) Approve PM actions that involve any of the following:

(a) Multi-site organizations

(b) NAWCWD Competency Aligned Organization (CAO) Level 2 and above organization changes

(c) Establishing or deleting detachments

d. Position Management Officer will:

(1) Interface with executive management on Command policy and provide program oversight.

(2) Provide staff advisors to assist management in the accomplishment of PM objectives, including guidance in the preparation of necessary documentation (see enclosures (2) through (5)).

e. Organization Realignment Coordinator will:

(1) Administer and monitor the PM program and implement PM actions initiated by line managers.

(2) Ensure conformance with policies and regulations.

(3) Ensure appropriate review and approval of PM actions.

f. Position Management Coordinator will:

(1) Maintain records and documents of approved PM changes for Command.

(2) Approve changes for Command publication in the NAWCWD Organization Manual.

(3) Provide official notification of approved PM changes (see enclosure (5), (format 4)) to the Corporate Budget Division, Code 762000E; Telephone Branch, Code 723200D; Costing

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Branch, Payroll and Plant Property, Code 761500D/E; Corporate Operations, Code 700000D, for organization chart; and Customer Services Division, Code 721000D, for the Organization Manual.

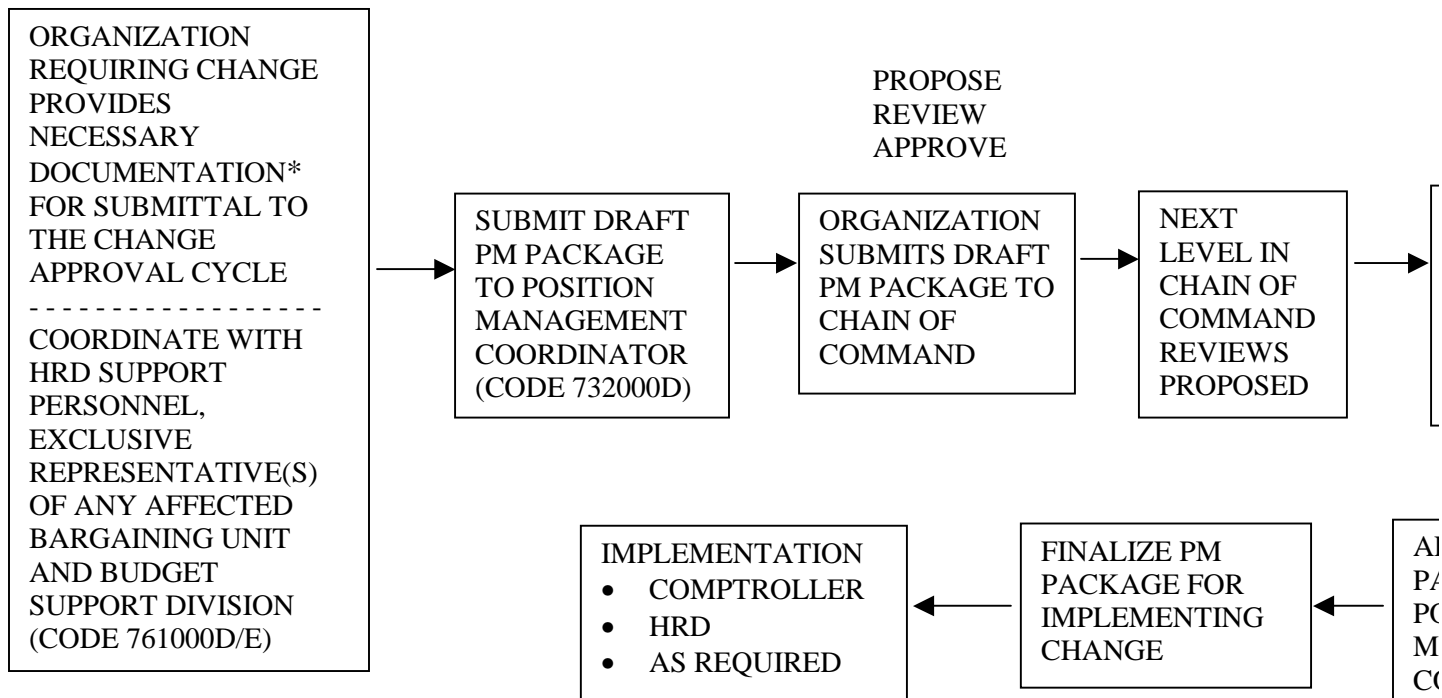
8. Directive Responsibility. The Head, Human Resources Department, Code 730000D, is responsible for keeping this instruction current.

/s/  
R. B. Ormsbee

### POSITION MANAGEMENT (PM) GUIDELINES

1. Process organization changes as shown in enclosure (2). Proposed organizational changes require involvement of the exclusive representative(s) of any affected bargaining unit, coordination with Corporate Budget regarding cost center (accounting shop) information, and review by the Position Management Coordinator, Code 732000D, before submission for approval. Depending on the extent and type of change proposed, the first review by Code 732000D can be accomplished by telephone contact, rather than documentation review. Complex changes require a review of the draft documentation.
2. The NAWCWD policy is to minimize creation of deputy/associate/assistant positions. Establish these positions only when the managerial and technical workload of the organization requires a second person, and it is not possible to delegate responsibility to existing staff or line positions. Additionally, consider limiting these positions to the alternate site in a two or more site organization (e.g., the deputy/associate/assistant position and the organization head position should not be located at the same site).
3. Establish staff positions only if the function cannot be assigned to an existing line function. Assess how the staff position would facilitate the flow of information and impact the work products. Determine if the workload can be distributed among existing positions to eliminate the need for a new position. Duplicate staff offices should not exist within an organization.
4. Fragmentation (unnecessarily small organizational elements) frequently results in over-specialization, duplication, or inability to respond to broader requirements. Layering (addition of intervening supervisory or reporting levels) can cause unnecessary delays in communication, approval, and task accomplishment. A supervisory ratio of no less than 1 to 15 is recommended. The following are guidelines to minimize fragmentation or layering in organizations performing essentially identical functions:
  - a. Level 3 organizations: 40 positions or more.
  - b. Level 4 organizations: 15 positions or more.
  - c. Level 5 organizations: 15 positions or more.

### ORGANIZATION CHANGE APPROVAL FLOW CHART



#### CHAIN OF COMMAND EXAMPLES

LEVEL/TYPE OF CHANGE	LEVEL OF REVIEW	LEVEL OF APPROVAL
LEVEL 4 ORGANIZATION	COMPETENCY MANAGER (LEVEL 3)	COMPETENCY MANAGER (LEVEL 2)
LEVEL 3 ORGANIZATION	COMPETENCY MANAGER (LEVEL 2)	COMPETENCY MANAGER (LEVEL 1)
LEVEL 2 ORGANIZATION Multi-site Senior Level Position Detachments	COMPETENCY MANAGER (LEVEL 1)	EXECUTIVE DIRECTOR
LEVEL 1 ORGANIZATION	EXECUTIVE DIRECTOR	COMMANDER

\*Required documentat  
memo with rationale f  
proposed organization  
proposed functional st

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## DOCUMENTATION AND CODING REQUIREMENTS

### 1. Documentation

a. To implement an organization change, prepare a cover memorandum addressed to the Position Management Coordinator, Code 732000D, summarizing the action and the rationale for the action. (See enclosure (2) for required approval levels.) The approved memorandum, with attachments, serves as both the authority to effect changes and the official record of the action.

b. Include the following information on the revised organization as enclosures to the memorandum:

(1) Organization chart (old and new).

(2) Functional statement (old and new).

(3) Position track with civilian position and military billet information for each incumbent affected by the organization change (see enclosure (4)). This document (Encl (4)) shows the specific movement of each position/billet from the old organization into the new structure.

c. The mission and function statements and the organization charts published in the NAWCWD Organization Manual are the official organization documentation. Civilian employee positions of record are documented in the Official Personnel Folder and the Defense Civilian Personnel Data System. The official documentation of military billets is the Activity Manpower Document (AMD). Necessary changes to all affected records can be accomplished by utilizing the position management (PM) package.

d. The documentation identified above is the maximum required for a PM package. Maximum documentation might not be necessary. For example, if the change does not affect the organization structure, organization charts are not required. The rationale portion of the forwarding memorandum is mandatory but can be very brief depending on the nature and extent of the PM action.

e. Managers and supervisors are encouraged to use staff advisory resources of the Corporate Operations Competency to accomplish their PM responsibilities. Depending on the nature and extent of the proposed changes, consult specialists in the areas of personnel management, financial management, management analysis, and equal employment opportunity early in the PM planning process.

## 2. Competency Aligned Organization (CAO) Code Structure Conventions

a. The CAO coding structure provides a single method of identifying organizations within the Naval Aviation Systems TEAM and is designed to allow common databases and reporting formats to be developed across sites. The standard organization code structure consists of seven digits, with the first being one of eight Level 1 competency identifiers and the last being a geographic location designator as shown below:

<u>Seven Total Digits (Numeric/Alpha)</u>		
1	5	1
Level 1 Competency Identifiers (1 to 8 numeric)	Code Identifiers (Numeric or Alpha)	Site Identifiers (A through Z alpha)

b. Level 1 Competency Identifiers (Numeric 2 through 8):

- 2 – Contracts (200000D)
- 3 – Logistics (300000E)
- 4 – Research and Engineering (400000D)
- 5 – Test and Evaluation (T&E) (500000E)
- 6 – Industrial
- 7 – Corporate Operations (700000E)
- 8 – NAWS Command Staff (800000D)

c. The internal five digits following the competency identifier and preceding the location designator describe competency level and chain of command. Line organizations use numerics and are limited to one digit per level (e.g., 621000D, 614000D, etc.). Staff groups use alphas (e.g., 62A000E, 62A100E, 62A200D, etc.) from A to H. The organization codes are designed to describe organizational entities, not individuals (e.g., department head and office manager both serve the same office and would have the same code).

(1) The first of the five internal numbers is either a Level 1 staff identifier (alpha A through H) or a Level 2 competency identifier for a line organization (numeric up to 9 and alpha J through Z (with the exception of O) for competency identifiers beyond 9).

(2) The second of five internal digits is either a Level 2 staff identifier (alpha A through H) or a Level 3 competency identifier for a line organization (numeric up to 9 and alpha J through Z (with the exception of O) for competency identifiers beyond 9).

(3) The third of five internal digits is either a Level 3 staff identifier (alpha A through H) or a Level 4 competency identifier for a line organization (numeric up to 9 and J through Z for identifiers beyond 9).



(4) The fourth of five internal digits is either a Level 4 staff identifier (alpha A through H) or a Level 5 competency identifier for a line organization (numeric up to 9 and alpha J through Z (with the exception of O) for identifiers beyond 9).

(5) The fifth of five internal digits is a Level 5 staff identifier (alpha A through H).

d. NAWCWD Geographic Site Identifiers (Alpha)

D – China Lake

E – Point Mugu

F – White Sands

e. The following are CAO organization code convention requirements:

(1) Always use seven digits. Fill in any unneeded spaces with zeros.

(2) Capitalize alphas, O and I are not used.

(3) Use numbers as needed after alpha staff identifiers.

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POSITION TRACK SHEET (FORMAT)

Position Track For (Organization Title), Code YYYYYYYY

Old Organization Title, Code XXXXXXXX  
New Organization Title, Code YYYYYYYY

FROM

<u>CODE</u>	<u>COST CENTER</u>	<u>PD<sup>1</sup> NUMBER/ BSC<sup>2</sup></u>	<u>POSITION TITLE</u>	<u>SERIES/GRADE RANK/DESIG<sup>3</sup></u>	<u>INCUMBENT</u>
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TO

<u>CODE</u>	<u>COST CENTER</u>	<u>PD<sup>1</sup> NUMBER/ BSC<sup>2</sup></u>	<u>POSITION TITLE</u>	<u>SERIES/GRADE RANK/DESIG<sup>3</sup></u>	<u>INCUMBENT</u>
XXXXXXXX YYYYYYY	XXXXXXXX YYYYYYY	PXXXXXXXXXX PYYYYYYYY	Spvy Elec Engr Spvy Elec Engr	DP-0855-04 DP-0855-04	Employee One
XXXXXXXX YYYYYYY	XXXXXXXX YYYYYYY	PXXXXXXXXXX PYYYYYYYY	Secretary New Title	GS-0318-06 GS-0318-07	Employee Two
XXXXXXXX YYYYYYY	XXXXXXXX YYYYYYY	55555 55551	OS1 OS1	E6 E6	Sailor
XXXXXXXX YYYYYYY	XXXXXXXX YYYYYYY	PXXXXXXXXXX PYYYYYYYY	Elec Engr Elec Engr	DP-0855-03 DP-0855-03	Employee Three

<sup>1</sup> - Position Description  
<sup>2</sup> - Billet Sequence Code  
<sup>3</sup> - Designator Code

### POSITION MANAGEMENT (PM) PROCESS

1. The basic process for all position management packages is as follows:

a. The cognizant code initiates discussion of intended organization changes with exclusive representative(s) of any affected labor organization(s) during the planning phase. The cognizant code discusses details of the intended organization changes with the PM Coordinator, Code 732000D, and Personnel Management Advisor (PMA), Code 731000D. Proposed changes are documented using memorandum format 1, 2, or 3 of this enclosure, with appropriate signatures through the level required for action approval.

b. In situations where the proposed organization change transfers functions from one competency area to another, managers of the gaining and losing organizations will sign or initial the cover memorandum requesting approval of the change. The gaining organization is responsible for preparing the PM package and coordinating with the losing organization. Both the gaining and losing organizations will provide appropriate revised organizational documentation (e.g., updated organization charts and functional statements) so all official changes can be made with one PM package.

c. Address memorandums to Code 732000D to ensure that approved changes are accomplished and documented. The originator prepares the supporting documentation specified in this instruction and forwards it to the PM Coordinator, Code 732000D. The PMA Team and PM Coordinator will provide any needed assistance to the originator to complete documentation and ensure compliance with regulations and instructions.

d. The PMA prepares a cover memorandum for the PM Coordinator that summarizes changes and specifies the effective date. The PMA ensures that effective dates are coordinated for actions impacting more than one site.

e. On completion of personnel change documentation, the PMA returns the PM package to the PM Coordinator. The PM Coordinator retains a copy of the PM package and forwards the original to data management personnel to process the changes into the Defense Civilian Personnel Data System (DCPDS) database.

f. The PM Coordinator, Code 732000D, ensures that designated organizations are notified of approved changes by memorandum (see (format 4) of this enclosure). This notification is for use in changing documents such as the NAWCWD Organization Manual, telephone listings, and property management records.

g. The PMA, Code 731000D, coordinates with the DCPDS group for processing required actions and notifies the organization when changes are completed.

h. The cognizant organization prepares a memorandum for appropriate distribution announcing approved and completed changes.

2. The process for PM packages requiring Executive Director, Code 00B000D, approval is as follows:

a. The following actions require Executive Director approval:

(1) Multi-location organization changes

(2) NAWCWD Competency Aligned Organization (CAO) Level 2 and above organization changes

(3) Establishing or deleting detachments

b. The PM Coordinator, Code 732000D, verifies that the originating code has discussed proposed changes with the Executive Director, Code 00B000D.

c. The PM Coordinator, within Code 732000D, discusses the proposed actions and requirement for Executive Director, Code 00B000D, approval with the Organization Realignment Coordinator, within Code 732000D.

d. The Organization Realignment Coordinator, Code 732000D, discusses the proposed action with the Position Management Officer, Code 730000D, to determine whether formal presentation is required.

e. Following Executive Director review and approval, the PM package is signed as approved by the Executive Director and returned to the PM Coordinator, Code 732000D, for processing.

REQUEST FOR LEVEL 2 APPROVAL (FORMAT 1)

5310  
Code  
Date

MEMORANDUM

From: Head, \_\_\_\_\_ (Level 3 Competency Manager), Code \_\_\_\_\_  
To: Position Management Coordinator, Code 732000D  
Via: Head, \_\_\_\_\_ (Level 2 Competency Manager), Code \_\_\_\_\_

Subj: PROPOSED ORGANIZATION CHANGE

Ref: (a) NAWCWDINST 5310.1

Encl: (1) Current Organization Chart  
(2) Proposed Organization Chart  
(3) Current Functional Statement  
(4) Proposed Functional Statement  
(5) Position Track Personnel Listing

1. According to reference (a), the \_\_\_\_\_ (Level 3 organization) requests approval to \_\_\_\_\_ (e.g., establish, disestablish or change name/title of a Level 4 or 5 organization). The purpose of this change is to \_\_\_\_\_ (e.g., provide visibility for a specific function, improve efficiency and responsiveness to customer requirements, decrease administrative overhead, etc.).
2. Specific organization changes that are proposed include \_\_\_\_\_ (e.g., establish Code \_\_\_\_\_, disestablish Codes \_\_\_\_\_ and \_\_\_\_\_, realign personnel, etc.). Enclosures (1) through (4) include the current and proposed organization charts and functional statements. Enclosure (5) lists the positions and employees affected by the reorganization. (The \_\_\_\_\_ bargaining unit was involved in and concurs with the proposed changes.)

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Signature – Level 3 Competency Manager

APPROVED/DISAPPROVED

\_\_\_\_\_  
Head, \_\_\_\_\_ Level 2 Competency Manager

\_\_\_\_\_  
Date

Copy to:

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Level 1 Competency Manager, \_\_\_\_\_ Competency, Code \_\_\_\_\_

REQUEST FOR LEVEL 1 APPROVAL (FORMAT 2)

5310  
Code  
Date

MEMORANDUM

From: Head, \_\_\_\_\_ (Level 2 Competency Manager), Code \_\_\_\_\_  
To: Position Management Coordinator, Code 732000D  
Via: Level 1 Competency Manager, \_\_\_\_\_ Competency, Code \_\_\_\_\_

Subj: PROPOSED ORGANIZATION CHANGE

Ref: (a) NAWCWDINST 5310.1

Encl: (1) Current Organization Chart  
(2) Proposed Organization Chart  
(3) Current Functional Statement  
(4) Proposed Functional Statement  
(5) Position Track Personnel Listing

1. According to reference (a), the \_\_\_\_\_ (Level 2 organization) requests approval to \_\_\_\_\_ (e.g., establish, disestablish or change name/title of a Level 3 organization). The purpose of this change is to \_\_\_\_\_ (e.g., provide visibility for a specific function, improve efficiency and responsiveness to customer requirements, decrease administrative overhead, etc.).

2. Specific organization changes that are proposed include \_\_\_\_\_ (e.g., establish Code \_\_\_\_\_, disestablish Codes \_\_\_\_\_ and \_\_\_\_\_, realign personnel, etc.). Enclosures (1) through (4) include the current and proposed organization charts and functional statements. Enclosure (5) lists the positions and employees affected by the reorganization. (The \_\_\_\_\_ bargaining unit was involved in and concurs with the proposed changes.)

\_\_\_\_\_  
Signature – Level 3 Competency Manager

APPROVED/DISAPPROVED \_\_\_\_\_  
Level 1 Competency Manager, \_\_\_\_\_ Competency Date \_\_\_\_\_

Copy to:  
Level 1 Competency Manager, \_\_\_\_\_ Competency, Code \_\_\_\_\_

REQUEST FOR EXECUTIVE DIRECTOR APPROVAL (FORMAT 3)

5310  
Code  
Date

MEMORANDUM

From: Level 1 Competency Manager, \_\_\_\_\_ Competency, Code \_\_\_\_\_  
To: Position Management Coordinator, Code 732000D

Subj: PROPOSED ORGANIZATION CHANGE

Ref: (a) NAWCWDINST 5310.1

Encl: (1) Current Organization Chart  
(2) Proposed Organization Chart  
(3) Current Functional Statement  
(4) Proposed Functional Statement  
(5) Position Track Personnel Listing

1. Approval for the following organization changes is requested from the Executive Director according to reference (a).

2. The \_\_\_\_\_ (Level 1 or 2 organization) proposes to \_\_\_\_\_ (e.g., combine and realign personnel and functions in a multi-site organization, create a new senior level position, substantially modify the functions of Level 2 and above organizations, or establish/disestablish a detachment). The purpose of this change is to \_\_\_\_\_ (e.g., provide visibility for a specific function, improve efficiency and responsiveness to customer requirements, decrease administrative overhead, etc.).

3. Specific organization changes that are proposed include \_\_\_\_\_ (e.g., establish Code \_\_\_\_\_, disestablish Codes \_\_\_\_\_ and \_\_\_\_\_, realign personnel, etc.). Enclosures (1) through (4) include the current and proposed organization charts and functional statements. Enclosure (5) lists the positions and employees affected by the reorganization. (The \_\_\_\_\_ bargaining unit was involved in and concurs with the proposed changes.)

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Signature – Level 1 Competency Manager

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APPROVED/DISAPPROVED

\_\_\_\_\_  
Executive Director

\_\_\_\_\_  
Date

NOTIFICATION OF APPROVED CHANGE (FORMAT 4)

5310  
Code  
Date

MEMORANDUM

From: Position Management Coordinator, Code 732000D

Subj: APPROVED ORGANIZATION CHANGES

Ref: (a) NAWCWDINST 5310.1

Encl: (1) Position Management Package Information

1. As required by reference (a), actions described in enclosure (1) were approved. Changes are effective on \_\_\_\_\_. If you require additional information regarding enclosure (1), please contact the affected organization(s) directly.

\_\_\_\_\_  
Signature – Position Management Coordinator

Distribution:

700000D

728100D

721000D (Organization Manual)

723200D (Telephone Directory)

761500D (Payroll) (Plant Property)

762000E (Corporate Budget)